

-1-

UNITED STATES PATENT AND TRADEMARK OFFICE

| | | |
|---------------------------------|---|------------------------------------|
| In re Application of: | : | Group Art Unit: |
| Chan, L. et al. | : | Not Yet Assigned |
| | : | |
| Serial No.: | : | Not Yet Assigned |
| | : | |
| Filed: | : | IBM Corporation |
| (Herewith) | : | Intellectual Property Law T81/B503 |
| | : | 3039 Cornwallis Road |
| | : | P. O. Box 12195 |
| Title: SYSTEM AND METHOD FOR | : | Research Triangle Park, NC 27709 |
| PRESENTING PERSONALIZED CONTENT | : | |
| ON ELECTRONIC COMMERCE WEB | : | |
| PAGES | : | |

INFORMATION DISCLOSURE STATEMENT

Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

This Information Disclosure Statement is being submitted in connection with the above-identified application for patent. Applicants submit herewith patents, publications or other information of which they are aware, which they believe may be material to the patentability of this application and in respect of which there may be a duty to disclose in accordance with 37 C.F.R. § 1.56.

While this Information Disclosure Statement may be "material" pursuant to 37 C.F.R. § 1.56, it is not intended to constitute an admission that any patent, publication or other information referred to herein is "prior art" for this invention unless specifically designated as such.

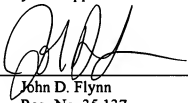
In accordance with 37 C.F.R. § 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 C.F.R. § 1.56(a) exists.

The attached form, PTO/SB/08A, provides a listing of patents, publications, or other information as required by 37 C.F.R. § 1.98(a)(1).

A copy of each of the items identified on the attached Form PTO/SB/08A is supplied herewith, except for U.S. patents and U.S. patent application publications, for which no copies are being submitted.

Respectfully submitted,

Attorneys for Applicants

By: 
John D. Flynn
Reg. No. 35,137

Docket: CA920030031US1

Phone: 919-254-7468 / Fax 919-254-4330

Substitute for form 1449/PTO

(Use as many sheets as necessary)

| | |
|-------|---|
| Sheet | 1 |
|-------|---|

of 2

Compl to if Kn wn

Application Number

Filing Date

First Named Inventor

Chan, L. et al.

Art Unit

Examiner Name

| |
|----------------|
| CA920030031US1 |
|----------------|

[illegible]

| FOREIGN PATENT DOCUMENTS | | | | | | |
|--------------------------|----------|---|--------------------------------|--|---|---|
| Examiner Initials* | Cite No. | Foreign Patent Document | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear | † |
| | | Country Code* Number+*Kind Code* (if known) | | | | |
| /A.A./ | B1 | WO 98/33135 | 07/30/1998 | Chislenko, et al. | | |
| /A.A./ | B2 | WO 01/33410 | 05/10/2001 | Cooper, et al. | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |

Examiner

/Affaf Ahmed/

Date _____

11/13/2007

EXAMINER: Include if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Initial copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 601.04. ³ Enter Office that issued the document, by its country code (WIPO Standard ST-3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. The collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application forms to the USPTO. Time will vary depending upon the individual cases. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS OFFICE. Send TO: Commissioner for Patents, Washington, DC 20231.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Substitute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Complete if Known

Sheet **2** of **2**

| | |
|-------------------------------|-----------------|
| Application Number | |
| Filing Date | |
| First Named Inventor | Chan, L. et al. |
| Art Unit | |
| Examiner Name | |
| Attorney Docket Number | CA920030031US1 |

NON PATENT LITERATURE DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T ² |
|--------------------|-----------------------|---|----------------|
| /A.A./ | C1 | "A personalised needs oriented approach to insurance product sales" IBM Res. Disc. 453098 (January 2002) | |
| /A.A./ | C2 | Herlocker, et al., "Explaining Collaborative Filtering Recommendations", Dept. of Comp. Sci. & Eng., Univ. of Minnesota (2000), pp. 241-250 | |
| /A.A./ | C3 | Lee, et al., "Learning Automated Product Recommendations Without Observable Features: An Initial Investigation", Robotics Instit., Carnegie Mellon Univ. (April 1995), pp. 1-35 | |
| /A.A./ | C4 | Resnick, et al., "GroupLens: An Open Architecture for Collaborative Filtering of Netnews", MIT Center for Coordination Sci. (1994), pp. 175-186 | |
| /A.A./ | C5 | Sarwar, et al., "Analysis of Recommendation Algorithms for E-Commerce", GroupLens Res. Group, Dept. of Comp. Sci. & Eng., Univ. of Minnesota (2000), pp. 158-167 | |
| /A.A./ | C6 | Shardanand, et al., "Social Information Filtering: Algorithms for Automating 'Word of Mouth'", MIT Media-Lab, 1995, pp. 1-11 | |
| | | | |
| | | | |
| | | | |
| | | | |

| | | | |
|---------------------------|---------------|------------------------|------------|
| Examiner Signature | /Aifat Ahmed/ | Date Considered | 11/14/2007 |
|---------------------------|---------------|------------------------|------------|

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.58. This information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.